Programmatic Site Audits

Procedural Bulletin # 2

Purpose

To provide information on programmatic site audits conducted by the Indiana Department of Correction (IDOC).

Overview

All grant funded entities will have a site programmatic audit annually. Generally, one of the IDOC Program Directors will be responsible for conducting the audit. It is possible that other IDOC representatives and/or staff from the Indiana Office of Court Services (IOCS) may attend site programmatic audits. The purpose of the site programmatic audit is to ensure grant contract compliance, as well as measure entity growth in building and sustaining an evidence-based organization.

Components of a Programmatic Site Audit

- **Tour of Entity/Facility** - The tour is meant to provide the IDOC auditor with a general idea of what the entity's working space looks like and to be introduced to staff. The auditor will also be looking for evidence that the Mission and Vision Statements are posted in multiple places within the entity. Site auditors will also look for visual reminders for staff, participants, and stakeholders that the entity's objective is risk reduction.

- **Staff Surveys** - Surveys will be sent out electronically prior to the site audit occurring. Surveys should be completed and returned to the auditor prior to the site audit occurring. Survey results will be used to score some of the standards in the Site Audit Tool.

- **File Review with Site Audit Tool Scoring Guide** - Throughout the day, the auditor will be reviewing prepared files to score the audit tool standards. The auditor will also review random participant case files.

- **Scoring** - If all staff surveys are completed and compiled by the day the site audit is conducted, scores may be calculated and provided to the entity the same day. Otherwise, scores will be provided to the entity within seven (7) days of the site audit.

- **Closing with Applicable Staff** - The auditor will provide a general summary of findings from the audit and present them to applicable staff.

Preparation Expectations

- **Notify all staff of the site audit date/time.** Typically, audits occur between the hours of 8am-5pm. The entity's audit date will be provided in advance.
  - Discuss purpose and importance of the audit

- **Review Audit Tool standards in advance.**
  - Discuss with appropriate staff
  - It is strongly recommended that the entity conduct a self-assessment with the Site Audit Tool prior to the day of the audit.

- **Prepare Files: Create 1 labeled file folder for each standard listed on the Audit Tool.**
  - Collect policies (should be reviewed annually) and other documentation for each folder to show evidence standard is being met. Examples may include:
    - Pictures
    - Policies (highlighting the part that pertains to the standard)
    - Evidence (documentation) to show the standard is being met (highlighting the part that pertains to the standard). Evidence examples may include but are not limited to:
      - Staff Meeting Minutes
      - Staff Performance Appraisals
      - Staff Job Descriptions
      - Fact Files (Staff file progress notes from supervisor.)
      - Internal Audit documentation
      - IRAS scores printed from INCITE
      - Intake Documents
      - Participant Case Notes
      - Participant Case Plans
      - Treatment/Program provider communication (emails/progress reports)
      - Class Rosters
      - Program Pre-Tests/Post-Tests (completed examples)
      - Staff Organizational Chart
      - Participant Surveys (completed examples)

Day of Programmatic Site Audit

Files must be prepared in advance and be ready when the auditor arrives. The auditor will also need access to participant case files in order to randomly select them for review.

The auditor will need a working space where he/she can review files. Ideally, this would be a relatively quiet place with a table and access to an electrical outlet for laptop use.

The head of the entity (or designee) should be available for the entire site audit. It will not be necessary that they are present in the room the entire time, but they should be available to answer any questions, as needed.